

FORM PTO-1390
(REV 01-2003)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. 371**

55320.000104

U.S. APPLICATION NO. (Do not fill in, see 37 CFR 1.5)

10/514625
To Be Assigned

INTERNATIONAL APPLICATION NO.
PCT/DK03/00331

INTERNATIONAL FILING DATE
19 May 2003

PRIORITY DATE CLAIMED
17 May 2002; 18 July 2002

TITLE OF INVENTION

AMINO-FUNCTIONAL CHALCONES

APPLICANT(S) FOR DO/EO/US

Simon Feldbæk NIELSEN et al.

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☐ This express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
 - b. ☒ has been communicated by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
 - a. ☐ is attached hereto.
 - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
 - b. ☐ have been communicated by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An unexecuted oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An Assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A Preliminary Amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821-1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☒ Other items or information:

Copy of Form PCT/IB/308

Copy of WO 03/097575 A2

Copies of Forms PCT/IPEA 416 and PCT/IPEA 409

U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR 1.17) To Be Assigned		INTERNATIONAL APPLICATION NO. PCT/DK03/00331		ATTORNEY'S DOCKET NUMBER 55320.000104	
21. <input checked="" type="checkbox"/> The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1)-(5)): Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2) paid to USPTO and International Search Report not prepared by the EPO or JPO.....\$1080.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO.....\$920.00 International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO.....\$770.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4).....\$730.00 International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4).....\$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY	
Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total claims	20 - 20 =		x \$ 18.00	\$	
Independent claims	2 - 3 =		x \$ 86.00	\$	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$290.00	\$	
TOTAL OF ABOVE CALCULATIONS =				\$920.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				+	\$
SUBTOTAL =				\$920.00	
Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
TOTAL NATIONAL FEE =				\$	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property				+	\$
TOTAL FEES ENCLOSED =				\$920.00	
				Amount to be refunded:	\$
				charged:	\$
a. <input checked="" type="checkbox"/> A check in the amount of <u>\$920.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge Deposit Account No. <u>50-0206</u> in the amount of \$_____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>50-0206</u> A duplicate copy of this sheet is enclosed. d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.					
NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status. SEND ALL CORRESPONDENCE TO: <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> CUSTOMER NO. 21967 Intellectual Property Department Hunton & Williams LLP 1900 K Street, N.W.; Suite 1200 Washington, DC 20006-1109 (202) 955-1500 (telephone) (202) 778-2201 (facsimile) </div> <div style="width: 50%;"> <div style="border-bottom: 1px solid black; height: 40px; margin-bottom: 5px;"></div> SIGNATURE Stanislaus Aksman NAME 28,562 REGISTRATION NUMBER </div> <div style="width: 40%;"> November 17, 2004 DATE </div> </div>					

DT07 Rec'd PCT/PTO 17 NOV 2004
Return When Serial Number is Assigned

Please return this card, indicating receipt date and Serial No., if applicable, of the following

PATENT

☐ PROVISIONAL
☒ UTILITY

☐ DESIGN
☐ PCT

Application No.: TBA
Client/Matter No.: 55320.000103

Date: NOVEMBER 17, 2004
Client: LICA PHARMACEUTICALS A/S

Inventor(s): SIMON FELDBÆK NIELSEN ET AL.

Atty/Sec.: SA/abs

Title: AMINOCALKOXY-FUNCTIONAL CHALCONES

The following has been received in the U.S. Patent and Trademark
Office on the date stamped hereon:

- ☒ TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371 (IN DUPLICATE)
- ☒ PRELIMINARY AMENDMENT
- ☒ UNEXECUTED DECLARATION AND POWER OF ATTORNEY FOR PATENT APPLICATION
- ☒ COPY OF FORM PCT/IB/308
- ☒ COPY OF WO 03/097574 A2
- ☒ COPY OF FORM PCT/IPEA/409
- ☒ Copy of Form PCT/IPEA/416
- ☒ Check No. 2062927 for \$920.00

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NOV 29 2004